## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re the Application of:	) Attorney Docket No. 26592-004REG US
Kendrick W. Kan,	j
Bruce L. Horn	Group Art Unit: 3624
Title:	) Examiner: Weisberger, Richard C.
Internet-Based System for Identification,	) Telephone: (703) 308-4408
Measurement and Ranking of Investment	) Telephone. (703) 308-4408
Portfolio Management, and Operation	
of a Fund Supermarket, Including "Best	
Investor" Managed Funds	
	) Date of Mailing: 15, 2003
Serial No. 09/836,694	
E'I 1 A 'I 17 2001	
Filed: April 17, 2001	
SECOND SUPPLEMENTAL INFOR	MATION DISCLOSURE STATEMENT 37 CFR §1.97
Mail Stop: Patent Application	
Commissioner for Patents	
P.O. Box 1450	
Arlington, VA 22313-1450	
Sir:	
Applicant(s) wish to disclose the following i	information under rule 97:
REFERENCES	
[X] The Applicant(s) wish to make of record	d the references listed on the attached Form PTO-
1449. Copies of the listed references ar	re attached, where required.
[ ] The Applicant(s) wish to make of recor	rd the references cited in the copending related US

## **RELATED CASE(S)**

attached.

[]

Applicant has filed the following related U.S. application: [X]

Application Serial Number \_\_\_\_\_ filed \_\_\_\_. Copies of the references are

This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

## **CERTIFICATION**

The	undersigned certifies that:
[X]	No Office Action has been received in this case.
[]	The reference(s) disclosed herein were previously disclosed in the original priority
	application Specification as filed, or/and the relevance to the present
	application described therein.
[]	The publications were cited in a communication from a foreign patent office in
	Applicant's counterpart foreign application.
FEI	E PAYMENT
[X]	It is believed that no fee is due for the papers being filed herewith.
[]	Please charge Deposit Account No. 04-1699 in the amount of \$ for the fees due
	under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.
[X]	If the fees as submitted above are not correct or a fee is required, please charge any
	additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please
	reference the Attorney Docket number 26592-004REG US in recording any fee charge
	made.

Encl: 1449, 1 pg.

Copy of Reference 5,873,071 Return Receipt Postcard

DATE: May 15, 2003

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Respectfully submitted,

Jacques M. Dulin, Esq. Registration No. 24,067

PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Substitute for 60 1449/PTO

Sheet

(Use as many sheets as necessary)

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Coi	mplete if Known	7/		
Application Number	09/836,694			
Filing Date	April 17, 2001	Ma.	The second	
First Named Inventor	Kendrick W. Karo	4,5	2	
Art Unit	3624	), '		
Examiner Name	Weisberger	(In		
Attorney Docket Number	26592-004 REG US	N		

			U. S. PATEN	T DOCUMENTS	<u> </u>
Examiner Initials*	Cite No. <sup>1</sup>	Document Number  Number-Kind Code <sup>2 (# known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Was e Relevant Passages or Relevant Figures Appear
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		FORE	IGN PATENT DOCU	MENTS		
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	T <sup>6</sup>
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Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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